

LEADER DEVELOPMENT: THE IMPORTANCE OF
COMMUNICATION, TRUST, AND LEGACY

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ABSTRACT

LEADER DEVELOPMENT: THE IMPORTANCE OF COMMUNICATION, TRUST, AND LEGACY, by Major Ryan T. Reichert, 84 pages.

This qualitative research study attempted to address “How does the U.S. Army implement leader development?” The study examined current U.S. Army doctrine along with senior and civilian leader perspectives for themes in reference to three research questions. These questions were: how does the U.S. Army leader develop subordinates, what are the key requirements for an effective leader development program, and what core leader competencies are most important in leader development? Through this analysis, the following themes emerged communication, trust, and legacy. Once the themes were identified, they were analyzed against a 2006-RAND study on U.S. Army leader development. The findings concluded that the most important competencies in leader development were communicates and leads by example. In order to establish an effective leader development program, leaders communicated to their subordinates and developed a holistic approach, which focused on setting the conditions for leader development, providing feedback on a subordinate’s actions, and an integrated learning process. This approach developed trust between the leader and subordinate, which established a legacy on how subordinates developed their subordinates in the future.

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ACRONYMS

ADP	Army Doctrine Publication
ADRP	Army Doctrine Reference Publication
ALD	Army Leader Development
ALDS	Army Leader Development Strategy
CSA	Chief of Staff of the Army
FM	Field Manual
IDP	Individual Development Plan
LDP	Leader Development Program
LRM	Leadership Requirements Model
TRADOC	U.S. Army Training and Doctrine Command
U.S.	United States
UTP	Unit Training Plan

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CHAPTER 1

INTRODUCTION

Overview

Leadership is solving problems. The day soldiers stop bringing you their problems is the day you have stopped leading them. They have either lost confidence that you can help or concluded you do not care. Either case is a failure of leadership.

—Colin Powell, *Forbes*

The United States (U.S.) Army defined leadership as “a process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization.”¹ The most important phrase in the definition was “improve the organization.” To improve the organization, leaders needed to focus on development. This research targeted leadership and how leaders develop subordinates to discover the importance of improving an organization.

This qualitative research study consisted of three parts. First, this research analyzed effective leader development within current U.S. Army leadership doctrine. Second, this research analyzed how leaders communicate to subordinates. Third, this research analyzed how a leader’s execution and effectiveness towards leader development created a positive or negative legacy.

The first part of this research analyzed effective leadership using current U.S. Army leadership and leader development doctrine. Over the past 40 plus years, the U.S. Army refined the course of leader development doctrine, from its foundations in leader development models, to what characteristics best support successful leaders. These two models were the United States Army Leader Development (ALD) model and Leadership

Requirements Model (LRM). These two models established the support for this study and generated concepts on how to further develop subordinates.

United States Army Leader Development Model

The foundation of leader development began with the ALD model. The ALD model consisted of three domains: institutional, operational, and self-development, as seen in figure 1.

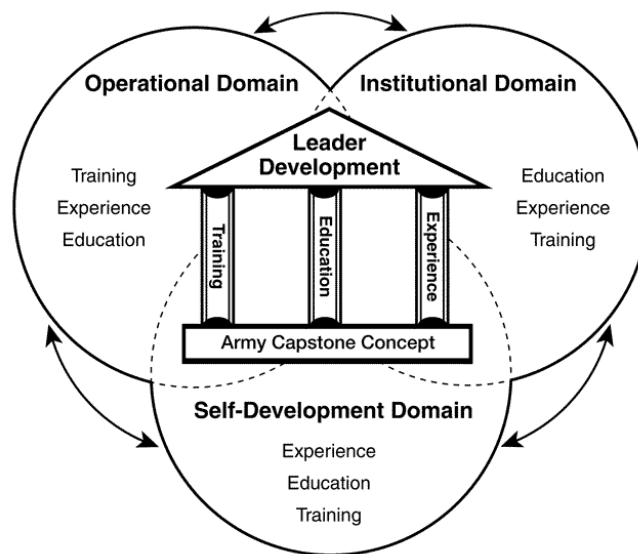


Figure 1. United States Army's Leader Development Model

Source: Headquarters, Department of the Army, Pamphlet 350-58, *Army Leader Development Program* (Washington, DC: Department of the Army, 2013), 2.

These three domains focused on the holistic process of education, training, and experience, to develop competent leaders.² Within each domain is a focus pillar. The three focus pillars are training, education, and experience. These pillars then correlate

back in each domain, developing each individual over their career. The purpose of the model is to guide leaders, in order to gain the necessary tools to develop leadership. This qualitative research study focused on the self-development domain, but it was also necessary to understand how the institutional and operational domains impact a leader's overall career development.

The second model used to assess a leader was the LRM. U.S. Army leadership doctrine described leader traits in the LRM, which is illustrated in figure 2. This model delineates leadership by attributes and core leader competencies.³ The LRM is one of the sources for leaders to use in developing effective subordinates.

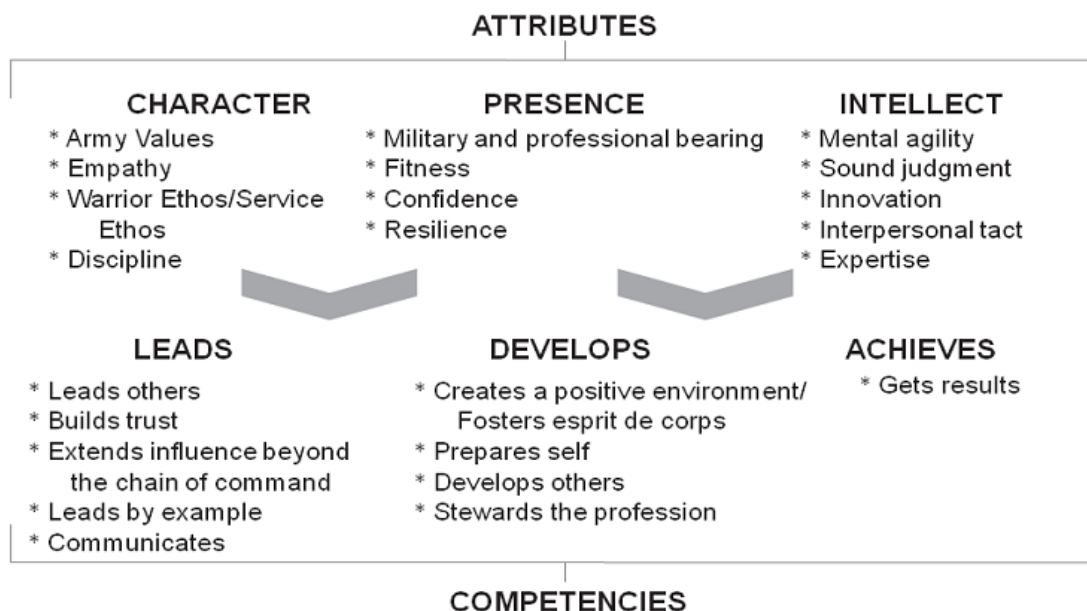


Figure 2. United States Army's Leadership Requirements Model

Source: Headquarters, Department of the Army, Army Doctrine Publication 6-22, *Army Leadership* (Washington, DC: Department of the Army, 2012), 5.

The second part of this research provided analysis on how leaders communicate to subordinates. How a leader communicates is essential to all other leadership competencies.⁴ This communication was analyzed from the U.S. Army's definition and civilian interpretation, which was important because without the ability to communicate a leader cannot develop their subordinates.

The U.S. Army defined communication as a means to share information, which can be done by face-to-face talks, written and verbal orders, running estimates and plans, published memos, E-mail, Web sites, social media, and newsletters.⁵ When communicating to share information, the leader must acknowledge two critical factors. First, a leader is responsible for making sure the team understands the message. Second, a leader must ensure that communication is not limited to the traditional chain of command, but often includes lateral and vertical support networks. A leader, who communicates well, minimizes friction and improves the overall organizational climate. Leaders cannot lead, supervise, and build teams, counsel, coach, or mentor, without the ability to communicate clearly.⁶

Another factor nests with the U.S. Army's definition of communication. This factor was the ability of the leader's subordinates to listen. This factor addressed how a leader's character is a part of their ability to communicate. From the perspective of John C. Maxwell in his "Law of Solid Ground," character becomes the unspoken voice, which communicates a positive or negative tone to followers.⁷ This demonstrated how a leader's subordinates do not listen or will not execute tasks if they do not trust their leader. Maxwell's laws will be covered in more detail in the literature review in chapter 2.

The third part of this research analyzed how a leader's execution and effectiveness towards leader development created a positive or negative legacy. This legacy was analyzed through the career successes of subordinates and the influence of their leader. The second assessment used the *Commander's Handbook for Unit Leader Development* for effective methods of unit leader development models.⁸ This handbook will be covered in more detail in the literature review in chapter 2. These two assessments reinforced the core leadership competencies discussed in chapter 2 and the emphasis on communication to establish a legacy through leadership development.

In 1994, Major Mark Ritter wrote a Master of Military Art and Science thesis on "Senior Leader Mentoring: Its Role in Leader Development Doctrine." He discussed the role of leaders mentoring subordinates throughout history and the impact it had on developing doctrine. His thesis also demonstrated the correlation between great leaders in history and the legacy they left behind:

History is replete with examples of mentoring relationships that are credited with spawning successful Army officers. An example of high visibility mentorship is found among the World War II senior officers. General John J. Pershing mentored such notable officers as George S. Patton, Jr., George C. Marshall, and Douglas MacArthur. General Dwight D. Eisenhower directly credited Brigadier General Fox Conner as a mentor who encouraged him to learn and develop. Fox Conner was instrumental in connecting Eisenhower with Marshall. Marshall was known as a mentor who exposed his protégé's to higher echelons to enhance their development. It was Eisenhower's direct relationship with Marshall that resulted in his being elevated from the rank of Lieutenant Colonel to Commander of the European Theater of Operations in less than three years.⁹

This interpretation of a legacy has another name, Maxwell called it the "Law of Reproduction: It Takes a Leader to Raise up a Leader."¹⁰ These two examples illustrate the power leaders have in the ability to influence and continue to develop their subordinates. The influence and development of the subordinates in an organization one

leads is gauged in the success of the unit once the leader has left. The requirement in a leader's legacy shows the leader's success only after they have left the organization. The legacy left behind fostered a future of success in the organization and leaders who understand the importance in the development of others. This exploratory research study investigated "How does the U.S. Army implement leader development?" This first chapter provides an introduction, definition of key terms, background, purpose of the study and the problem statement, research questions, methodology, the significance of the study, as well as limitations, assumptions, and a chapter summary.

Definition of Key Terms

To provide a better understanding of the content in this qualitative research study certain key terms are defined. These terms are used throughout this study and are common within the topics of leadership and leader development.

Army Leader Development Strategy (ALDS): articulates the characteristics desired in our Army leaders and provides guidance for the career-long development of Army leaders through education, training, and experience. The ALDS describes leader development imperatives that will lead to developing agile, adaptive, and broad-minded leaders for the 21st Century (DA PAM 350-58, *Army Leader Development Program*, 2013).¹¹

Education: a pillar of ALD including, but not limited to, civilian education and professional military education provided by U.S. Army Training and Doctrine Command (TRADOC) schools (DA PAM 350-58, *Army Leader Development Program*, 2013).¹²

Experience: a pillar of ALD, including assignments and combat service (DA PAM 350-58, *Army Leader Development Program*, 2013).¹³

Institutional Training Domain: the Army's institutional training and education system primarily includes training base centers and schools that provide initial training and subsequent professional military education for Soldiers, military leaders, and Army civilians (ADP 7-0, *Training Units and Developing Leaders*, 2012).¹⁴

Leader Development: the deliberate, continuous, sequential and progressive process, grounded in Army values that grows Soldiers and civilians into competent and confident leaders capable of decisive action. Leader development is achieved through the lifelong synthesis of the knowledge, skills, and experiences gained through the developmental domains of institutional training and education, operational assignments, and self-development (DA PAM 350-58, *Army Leader Development Program*, 2013).¹⁵

Leader Development Program (LDP): a program designed to train leaders. The program incorporates formal and informal training, progressive and sequential duty assignments, an assessment, counseling, coaching, and feedback to maximize a leader's potential (DA PAM 350-58, *Army Leader Development Program*, 2013).¹⁶

Leadership: is the process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization (DA PAM 350-58, *Army Leader Development Program*, 2013).¹⁷

Operational Training Domain: the training activities organizations undertake while at home station, at maneuver combat training centers, during joint exercises, at mobilization centers, and while operationally deployed (ADP 7-0, *Training Units and Developing Leaders*, 2012).¹⁸

Self-development: a planned, dimension-based, progressive, and sequential process the individual leader uses to improve performance and achieve developmental

goals. Self-development is a continuous process that takes place during institutional training, education, and operational assignments. It is a joint effort that involves the leaders and the commander or supervisor. Self-development actions are structured to meet specific individual needs and goals. It starts with an assessment of leadership skills, knowledge, and potential. A counseling and feedback session follows each assessment. During the counseling sessions, commanders or supervisors assist the individual to identify strengths, weaknesses, and developmental needs. Additionally, they discuss causes for strengths and weaknesses, and courses of action to improve performance (DA PAM 350-58, *Army Leader Development Program*, 2013).¹⁹

Self-development Training Domain: planned, goal-oriented learning that: reinforces and expands the depth and breadth of an individual's knowledge base, self-awareness, and situational awareness, complements institutional and operational learning, enhances professional competence, and meets personal objectives (ADP 7-0, *Training Units and Developing Leaders*, 2012).²⁰

Training: a pillar of ALD, including Combat Training Center rotations and individual and unit training (DA PAM 350-58, *Army Leader Development Program*, 2013).²¹

Background

This research demonstrated that the U.S. Army has a leader development model, yet fails to implement the model consistently. This background is a brief summary of how U.S. Army leadership and leader development doctrine evolved over time. For a more in depth analysis, see chapter 2.

The U.S. Army leadership doctrine was established in 1946 in Field Manual (FM) 22-5, *Leadership Courtesy and Drill*. Since the inception of FM 22-5, leadership doctrine was updated 13 times. Leader development did not appear in U.S. Army doctrine until 1973, in FM 22-100, *Military Leadership*.²² Also, introduced were the two domains of development: academic and self-learning. The 1983 version of FM 22-100, introduced the first leadership framework and the concept of Be, Know, Do. This updated version contained a full chapter on leader and unit development programs, while the previous additions to the 1973 FM 22-100 were deleted. Additionally, two areas were implemented, consisting of “Values and Factors.”²³ These Values and Factors were similar to the LRM of today and for the first time in U.S. Army doctrine, “communications” was incorporated into leadership doctrine.²⁴

The introduction of leadership competencies was first introduced in the 1990 version of FM 22-100. The competencies consisted of “communications, teaching and counseling, soldier team development, supervision, technical and tactical proficiency, decision making, planning, use of available systems, professional ethics.”²⁵ While FM 22-100 was the principal leadership doctrinal manual, other manuals and regulations remained in existence, to include Army Regulation 600-100, *Army Leadership*; Department of the Army Pamphlet 600-15, *Leadership at Senior Levels of Command*; FM 22-103, *Leadership and Command at Senior Levels*.

The 1999 version of FM 22-100 was retitled *Army Leadership*, and in contrast to the 1990 version, was the U.S. Army’s capstone leadership manual. This was directed by the Chief of Staff of the Army (CSA). Specifically, FM 22-100 served as:

1. The basis for leadership assessment.
2. The basis for developmental counseling and leader development.
3. The basis for leadership evaluation. A reference for leadership development in operational assignments. A guide for institutional instruction at proponent schools.
4. A resource for individual leaders' self-development goals and initiatives.

(Department of the Army, pp. vii-viii)²⁶

This version was also the first to address leadership at all levels and superseded four publications, consisting of: FM 22-101, *Leadership Counseling*; FM 22-102, *Soldier Team Development*; FM 22-103, *Leadership and Command at Senior Levels*; and Department of the Army Pamphlet 600-80, *Executive Leadership*.²⁷ The document synthesized information from these publications into a comprehensive view of leadership, as well as linked concepts to other publications and processes that the U.S. Army used to develop leaders. Army Regulation 600-100, *Army Leadership* remained in effect, however, it was the established leadership policy. This policy was the basis for leadership and leader development doctrine and training.

The 1999 version also used a different approach to establish a framework of leadership, than any of the previous versions. This version identified 39 components specifying what a leader of character and competence must Be, Know, and Do. Within this framework, was a "be" dimension consisting of seven values, three attribute categories and 13 attributes; four skill categories in the "know" dimension; and a "do" dimension, consisting of three principal actions and nine sub actions. Within the Do dimension, the three principal actions were influencing, operating, and improving. The

nine sub actions included: communicating, decision making, motivating, planning—preparing, executing, assessing, developing, building, and learning.²⁸

Since 1973 and the establishment of leader development within U.S. Army leadership doctrine, there have been five updates and changes. These changes were facilitated by findings and theories from leadership research. R. A. Fitton from the National Defense University, provided a brief history in the evolution of U.S. Army leadership content through doctrinal changes, and proposed that much of the content of U.S. Army leadership manuals were influenced by the leadership research trends of academia.²⁹ Similarly, transformational theory had an influence on the 1999 version of FM 22-100, as reflected through the actions of improving the organization, through developing others as leaders, building teams, applying learning to one's self, and leading change. The changes made to leadership and leader development doctrine, since the 1999 version in the 21st Century, will be highlighted in chapter 2.

Leader Development

This qualitative research study reviewed leader development from the U.S. ALDS, which articulated the characteristics desired in U.S. Army leaders and provided guidance for the career-long development of U.S. Army leaders through education, training, and experience.³⁰ The three-part application of this study reviewed U.S. Army leadership doctrine, how a leader communicated, and the legacy a leader developed. It was necessary to review the U.S. Army and civilian definitions of leader development, plus the application from civilian models on leader development. This review of multiple LDPs, allowed the researcher to compare the U.S. Army's leader development model to

civilian models and not just the U.S. Army's perspective. The civilian models used in this research included Sprint and Toyota's models on leader development.

Department of the Army, Pamphlet 350-58, *Army Leader Development Program*, defined leader development as,

[T]he deliberate, continuous, sequential and progressive process, grounded in Army values that grows Soldiers and civilians into competent and confident leaders capable of decisive action. Leader development is achieved through the lifelong synthesis of the knowledge, skills, and experiences gained through the developmental domains of institutional training and education, operational assignments, and self-development.³¹

Department of the Army, Army Doctrine Reference Publication (ADRP) 7-0, *Training Units and Developing Leaders* discussed the principles of leader development as,

[E]very Army leader is responsible for the professional development of their subordinate military and civilian leaders. Leaders execute this significant responsibility by assigning their subordinates to developmental positions and through training, education, coaching, and, in special cases, mentoring. Leader development is an investment, since good leaders will develop not only good training but also other good leaders.³²

Together, Department of the Army, Pamphlet 350-58 and ADRP 7-0 synthesized the holistic process of ALDS, as illustrated in figure 1 and figure 2.

Within the civilian sector, Sprint termed leader development as "Talent Management."³³ Sprint's talent management used two key areas of responsibility to develop their employees. First, it was the employee's responsibility for skill and career development. Secondly, the employee's manager was responsible for supporting the employee in this effort.³⁴ Together, the employee and manager used tools developed by Sprint to achieve the employee's goals.

The tools made available by Sprint for employees and managers for career development include Career Management Toolkit, Career Coaching Toolkit, and Career Series Webcast.³⁵ These three resources were a strategic road map, which allowed employees to incorporate training throughout their career path. Developing quality managers was an important area of focus at Sprint, and Management Quality served as the foundation for doing this. The effectiveness of their managers was measured through a management quality objective on performance plans for those who supervise others and centered around three areas:

1. Manage myself: exemplify the Sprint Imperatives.
2. Manage my team: coach and deliver feedback, develop people, recognize effort, reward results, and promote inclusion.
3. Manage my business: align strategy and planning, provide direction and communicate it, understand the business, simplify what we do, and deliver results.³⁶

Sprint was not the only civilian example for leader development; Toyota used the “Toyota Way Leadership.” This model developed leaders through Toyota’s five core values and a four-stage process.³⁷ The five values that defined the Toyota Way were the spirit of challenge, *kaizen* (constantly improve performance), *genchi genbutsu* (philosophy of how leaders make decisions), teamwork, and respect.³⁸ The four-stage process consisted of:

1. Self-Development: natural leaders “see” possibilities for improvement in self and others and instinctively harmonize with Toyota values. Go to the *gemba*

(where the work is) to deeply understand the actual situation and take on increasingly challenging goals under a mentor's guidance.

2. Coach and Develop Others: process-oriented, learning to see strengths and weaknesses in others, how to create situations for growing, and how to minimally intervene at teaching moments for maximum impact. Develop people in the right way and the results will follow. Take responsibility for helping people advance through self-developing learning cycle.
3. Support Daily *Kaizen*: learn how to promote leadership learning several levels down through standards, targets, and visual management. Leader presence in *gemba* to identify gaps with True North and on visual management indicators. Coach others to assume responsibilities for closing gaps.
4. Create Vision and Align Goals: participate in a collaborative process to get agreement and align goals and the means to achieve the goals. Initiate and sustain continuous improvement through visual management of goals; focus on problem solving and developing people.³⁹

Toyota's model was similar to both the ALD model and LRM. Together the models for both the U.S. Army and Toyota formed a foundation to develop their subordinates and future leaders.

Successful civilian corporations used leader development models to develop their subordinates and leaders. The ALDS contained similar tools as Sprint's model, using Web-based training and development. The Army Training Network established an online forum to gather tools for training and development.⁴⁰ This tool gave leaders the ability to

gain access in different areas on leader development, to include unit training management or the U.S. Army Chief of Staff's professional reading list.⁴¹

The U.S. Army, Sprint, and Toyota all saw the importance of leader development. They defined and described the process on how to develop subordinates or leaders. The final challenge was to direct each subordinate and leader to complete the transition through the phases of their models. This challenge was addressed through the problem statement.

Statement of Problem

The problem this research addressed is, "how does the U.S. Army implement leader development?" There were several methods in U.S. Army doctrine to develop subordinate leaders. Army Pamphlet 350-58, *Leader Development for America's Army*, October 1994, described the following as methods to develop subordinates:

[S]taff rides, professional development classes, instruction on the history and traditions of the unit, shared experiences, counseling and coaching, and progressive assignments of increasing responsibility.⁴²

Over the past 11 years, several colleagues claimed they have not seen a consistent process of these methods and question how to properly develop subordinates. These observations were corroborated by a U.S. Army directed RAND study in 2006.

In 2006, the Center for Army Leadership asked the RAND Arroyo Center to help the U.S. Army identify effective and feasible LDPs in operational units. The RAND study asked junior leaders if they were familiar with programs described in Army Pamphlet 350-58 and if they took part in these programs. The issue that junior leaders debated was the lack of consistency across their operational units.⁴³ Each unit and leader may have done a better job executing leader development, but there was not a common

trend or standard. With this non-standardized process, a ripple effect and a negative legacy were developed by subordinates. The RAND study reinforced the significance of this study, to establish LDPs to aid leaders in developing subordinates. The RAND study provided the purpose for this research study.

Purpose

The purpose of this research was to understand and describe how the U.S. ALD process affects subordinates. The U.S. Army has a strong foundation in a strategy for leadership development, but lacks a process for implementation. This process will be discussed in chapter 4 and in the recommendations section in chapter 5. The purpose provided the questions for this research study.

Research Questions

This research study attempted to answer the following research questions, by using a qualitative case study application. The qualitative case study method is described in chapter 3. The primary research question for this research study is:

1. How does the U.S. Army leader develop subordinates?

The secondary research questions listed below were necessary to answer the primary research question:

1. What are the key requirements for an effective leader development program?
2. What core leader competencies are most important in leader development?

In order to answer these research questions, the following methodology was established.

Methodology

This research study used a qualitative case study methodology. The primary method of data collection for this case study was reviewing and analyzing documents and materials. A review of the available literature on leadership and leader development was conducted. This review included current U.S. Army doctrine and guidance, as the foundation for the study. Civilian and senior leader perspectives on leadership and leader development were reviewed. Finally, literature from a leader study conducted by RAND and commissioned by the U.S. Army, which addressed disparity in operational unit LDPs was reviewed. Through this methodology, the significance of the study was developed.

Significance of Study

The significance of this study first focused on the benefits of research on leader development and the impact on subordinates through leader development. Second, the top priority from the CSA was leader development and implementation of leader development. Finally, the publication of Doctrine 2015 supported the Chief of Staff's priorities and guided leaders in leader development. These three areas established the focus for the significance of this qualitative research study.

Leader development affects how generations in the U.S. Army continue to be a success or failure. The process of leader development was carried forward from the subordinate who was being developed, to the legacy the subordinate left behind as they were developing their subordinates. Subordinate leaders needed to have leader development concentrated at each level, from joining the Army to the end of their career. The subordinate leader had a responsibility, to understand leader development doctrine

and the importance of self-development in their future, to successfully complete the cycle.

This study was relevant to subordinates and leaders, given the past 12 years fighting the Global War on Terror. Throughout this period, the formal pillar of the ALD model in self-development followed an “on the job” approach in combat, due to deployments, readiness levels, and leader experience. This history was so powerful that today the CSA has made leader development the number one priority of the U.S. Army, similar to the changes made to FM 22-100 in 1999, under a previous CSA.

The U.S. Army published Doctrine 2015, in July 2012, to leverage technology, make doctrine more collaborative, and easily accessible to all U.S. Army service members. Doctrine 2015 highlighted the ALDS, to guide its leaders and supervisors in their subordinate’s development. These tools aided in the support of leaders and LDPs.

The importance of the CSA’s prioritization of leader development and the implementation of Doctrine 2015 was necessary to obtain a legacy, which was explained in the published doctrine. The importance of a legacy was developed from leaders who used the doctrine in the implementation of a LDP in their units. Once a subordinate was developed through a unit’s LDP, they understood how to develop their own subordinates. This was the legacy the U.S. Army needed, in order to produce successful leaders in the future. Not all units conducted leader development training in the same manner. Unit leader development and Unit Training Plans (UTPs) are discussed in further detail in chapter 2. This study’s scope is addressed through the following limitations.

Limitations

This thesis is limited to the U.S. Army and its leader development process. It does not include research of other U.S. services, nor does it include foreign militaries.

Additionally, the following four limitations apply to this research:

1. This study's research focused on leadership and leader development doctrine, since 1973.
2. This thesis does not illustrate an effective UTP, due to time constraints of the study.
3. This thesis cannot establish a causal relationship between success and leader development. A leader's success or failure is influenced through multiple factors including, but not limited to leader development.
4. This study was unable to gather information and examples of leader development processes through surveys or interviews, due to time constraints of the study.

Assumptions

This thesis addressed the following assumptions, for the purpose of this research study:

1. U.S. Army leaders read and understand U.S. Army doctrine. It is the leader's responsibility to maintain proficiency in current doctrine and application.
2. U.S. Army leaders assist in the development of their subordinates by setting an example in operational assignments and through a LDP.
3. U.S. Army leaders implement leader development differently, depending on their organization type, military specialties, location, and previous experiences.

4. U.S. Army senior leaders presume subordinates received leader development through the ALDS in the ALD model.
5. Not all U.S. Army leaders strive to develop leaders in their organizations.

Summary

This qualitative research study explored U.S. ALD doctrine and its application. This chapter described leader development, stated the problem for research, purpose of the study, and established the significance of the primary research question:

1. How does the U.S. Army leader develop subordinates?

It also determined two secondary research questions necessary to answer the primary research question:

1. What are the key requirements for an effective leader development program?
2. What core leader competencies are most important in leader development?

This chapter additionally provided the methodology, limitations, and assumptions for this case study.

Chapter 2 is a literature review on the subject of leader development. It is intended to provide the reader with an understanding of the reference material available on leader development, and how U.S. Army leaders develop subordinates.

¹Headquarters, Department of the Army, Pamphlet 350-58, *Army Leader Development Program* (Washington, DC: Department of the Army, 2013), 23.

²*Ibid.*, 23.

³Headquarters, Department of the Army, Army Doctrine Publication 6-22, *Army Leadership* (Washington, DC: Department of the Army, 2012), 5.

⁴*Ibid.*, 6-14.

- ⁵Ibid., 6-13.
- ⁶Ibid., 6-12-6-13.
- ⁷John C. Maxwell, *The 21 Irrefutable Laws of Leadership: Follow Them and People Will Follow You* (Nashville, TN: Thomas Nelson Publisher, 1999), 59.
- ⁸Headquarters, Department of the Army, *Commander's Handbook for Unit Leader Development* (Washington, DC: Department of the Army, 2007), 2.
- ⁹Mark L. Ritter, "Senior Leader Mentoring: Its Role in Leader Development Doctrine" (Master's thesis, Command and General Staff College, Fort Leavenworth, KS, 1994), 1.
- ¹⁰Maxwell, *The 21 Irrefutable Laws of Leadership*, 133.
- ¹¹Headquarters, Department of the Army, Pamphlet 350-58, 21.
- ¹²Ibid., 22.
- ¹³Ibid.
- ¹⁴Headquarters, Department of the Army, Army Doctrine Publication 7-0, *Training Units and Developing Leaders* (Washington, DC: Department of the Army, 2012), G-1.
- ¹⁵Ibid.
- ¹⁶Ibid.
- ¹⁷Headquarters, Department of the Army, Pamphlet 350-58 (2013), 23.
- ¹⁸Headquarters, Department of the Army, Army Doctrine Publication 7-0, G-1.
- ¹⁹Headquarters, Department of the Army, Pamphlet 350-58 (2013), 23.
- ²⁰Headquarters, Department of the Army, Army Doctrine Publication 7-0, G-1.
- ²¹Headquarters, Department of the Army, Pamphlet 350-58 (2013), 23.
- ²²Jeffrey Horey, Technical Report 1148, "Competency Based Future Leadership Requirements" (United States Army Research Institute for Behavioral and Social Sciences, Arlington, VA, 2004), 6.
- ²³Ibid., 7.
- ²⁴Ibid., 8.

- ²⁵Ibid.
- ²⁶Ibid.
- ²⁷Ibid., 9.
- ²⁸Ibid., 9.
- ²⁹Robert A. Fitton, “Development of Strategic Level Leaders” (Executive Research Project S23, National Defense University, Washington, DC, 1993).
- ³⁰Headquarters, Department of the Army, Pamphlet 350-58 (2013), 21.
- ³¹Ibid., 23.
- ³²Headquarters, Department of the Army, Army Doctrine Publication 7-0, 2-3.
- ³³Sprint, “Employee Development,” Sprint.com, <http://www.sprint.com/responsibility/ourpeople/talentmgmt/development.html> (accessed 10 December 2013).
- ³⁴Ibid.
- ³⁵Ibid.
- ³⁶Ibid.
- ³⁷Gary L. Convis and Jeffrey Liker, *The Toyota Way to Lean Leadership: Achieving and Sustaining Excellence through Leadership Development* (New York City, NY: McGraw-Hill Professional, 2011), 34-35.
- ³⁸Ibid., 36-39.
- ³⁹Ibid., 31-32.
- ⁴⁰Headquarters, Department of the Army, “Army Training Network,” <https://atn.army.mil/> (accessed 12 December 2013).
- ⁴¹Headquarters, Department of the Army, “Unit Training Management,” [https://atn.army.mil/Media/docs/Unit%20Training%20Management_FINAL\(6SEP12\).pdf](https://atn.army.mil/Media/docs/Unit%20Training%20Management_FINAL(6SEP12).pdf) (accessed 12 December 2013).
- ⁴²Headquarters, Department of the Army, Pamphlet 350-58, *Leader Development for America’s Army* (Washington, DC: Department of the Army, October 1994).
- ⁴³Peter Schirmer, James C. Crowley, Nancy E. Blacker, Rick Brennan Jr., Henry A. Leonard, J. Michael Polich, Jerry M. Sollinger, and Danielle M. Varda, “Leader Development in Army Units: Views from the Field” (Monograph, Arroyo Center, The RAND Corporation, 2008).

CHAPTER 2

LITERATURE REVIEW

Introduction

The purpose of this chapter was to provide a detailed review of the literature analyzed during this qualitative research study. The literature reviewed in this chapter includes both U.S. Army and civilian publications. This section was divided into four subchapters. These subchapters cover U.S. Army doctrine, prior research on leader development, senior leader's perspectives, and civilian perspectives.

Army Doctrine

ADP 1-0: The Army

Army Doctrine Publication 1-0, *The Army*, was published in September 2012, by the Combined Arms Doctrine Directorate, United States Army Combined Arms Center, Fort Leavenworth, Kansas. ADP 1-0 is U.S. Army capstone doctrine, which outlines what the U.S. Army is, what the U.S. Army does, how the U.S. Army does it, and where the U.S. Army is going. Furthermore, it addressed leader development and the U.S. Army as a profession. The purpose for ADP 1-0, in this research study, was to establish the baseline for professional development in the U.S. Army and the importance of developing trust and communication in an organization.

The CSA stated, "Our Army Values are the essence of who we are, and those values rely on bedrock of mutual trust among Soldiers, leaders, Families, and the American people that we serve."¹ ADP 1-0 restated that the U.S. Army's foundation of trust fosters the essence of being an effective Soldier. It also discussed trust, in regards to

mission accomplishment, or what is necessary to generate levels of effectiveness; in order to be effective leaders must build trust with their Soldiers.² The continued focus on trust reinforced the civilian and senior leader perspective. ADP 1-0 stated that trust is the foundation of leader development. It went on to explain that trust required clear communication and guidance from the leader to the subordinate.

Army Doctrine Publication 1-0 established four broad fields of professional knowledge to develop and maintain throughout an individual's career. The four fields included:

1. Military-technical field: encompasses the doctrine of how the Army applies land power, including the integration and adaptation of technology, the organization of units, and the planning and execution of military operations.
2. Moral-ethical field: how the Army applies its combat power according to law and the expectation of our citizens.
3. Political-cultural field: prescribes how personnel and units operate effectively across and outside the Army's institutional boundaries. Land operations require cooperation with other Armed Forces, foreign militaries, other government agencies (our own and those of other countries), and all manner of human societies.
4. Leader development: because good leaders are the qualitative multiplier on any battlefield, the most dynamic element of combat power.³

The focus for this study was on field 4 (leader development). ADP 1-0 outlined leader development was one of the top four fields in prioritization for success in the U.S. Army. ADP 1-0 further addressed leader development in,

[O]ur Army is the premier leader development institution. We test each individual continuously. We shape them through training and experience into expert practitioners. To that, we add education, leader development, and most importantly, responsibility for themselves and their teammates.⁴

Leaders demonstrate the moral and ethical compass for their organizations. This demonstration was the leader requirement of, “leads by example.” Leaders need to learn, think, and adapt, as well as communicate fully, honestly, and candidly up, down, and laterally. This communication retained the trust necessary to execute as an effective, cohesive team.

When trust is obtained through communication, the circle is complete. The leader and subordinate have made the connection necessary to move forward in the future development of the subordinate. The leader, then continued to develop them, and fostered the further development of the subordinate. This process provided future units the guidance to obtain the positive influence and leads by example necessary to form a legacy.

Army Doctrine Publication 1-0 established the guidance to focus on through leader development, in the development of communication and trust within an organization. The next step, reviewed what leadership is and what competencies a leader must emulate, in order to be effective. This is discussed in ADRP 6-22: *Army Leadership*.

ADRP 6-22: Army Leadership

Army Doctrine Reference Publication 6-22, *Army Leadership*, was published in August 2012, by TRADOC through the Center for Army Leadership, Combined Arms Center-Leader Development and Education, United States Army Combined Arms Center, Fort Leavenworth, Kansas. The purpose for ADRP 6-22, in this research study was to

establish the necessary foundation for leadership and leader development. Additionally, ADRP 6-22 outlined the most important competencies through the LRM, which leaders need to be effective.

According to ADRP 6-22, the U.S. Army developed its leaders, using a holistic approach through education, training, and a mix of experience and operational assignments. This effort required improved individual assessment and feedback, and increased development efforts at the organizational level, such as mentoring, coaching, and counseling. These efforts instill, in all leaders, the desire and drive to improve their professional knowledge and competencies, thus improving current and future U.S. Army leaders.⁵

Army Doctrine Reference Publication 6-22, discussed the importance of character in leaders, through the LRM, as discussed in chapter 1 (see figure 2 for illustration). This model was broken down into separate components. These components centered on attributes (what a leader is) and competencies (what a leader does).⁶ The leader's character, presence, and intellect enabled the leader to master the core leader competencies. The U.S. Army leader was responsible to: lead others, develop the environment, themselves, others, and the profession as a whole and to achieve organizational goals.⁷ Leader competence developed from a balanced combination of institutional schooling, self-development, realistic training, and professional experience. Building competence followed a systematic and gradual approach, from mastering individual competencies, to applying them in concert and tailoring them to the situation at hand.⁸ Leader competencies can be developed.⁹ To improve their proficiency, U.S. Army leaders can take advantage of chances to learn and gain experience in the leader

competencies. They should look for new learning opportunities, ask questions, seek training opportunities, conduct self-assessments, and request performance critiques. This lifelong approach to learning, ensured leaders remain viable as professionals.¹⁰

Army Doctrine Reference Publication 6-22, outlined the most important competencies through the LRM as: leads by example, communicates, prepares self, and develops others. These competencies are defined below:

1. Leads By Example: living by the U.S. Army Values and the Warrior Ethos, best displays character and leading by example. It means, putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.¹¹
2. Communicates: leaders cannot lead, supervise, and build teams, counsel, coach, or mentor, without the ability to communicate clearly.¹² Leaders use a variety of means to share information: face-to-face talks, written and verbal orders, running estimates and plans, published memos, E-mail, Web sites, social media, and newsletters. When communicating to share information, the leader must acknowledge two critical factors: a leader is responsible for making sure the team understands the message. A leader must ensure that communication is not limited to the traditional chain of command, but often includes lateral and vertical support networks.¹³ A leader, who communicates well, minimizes friction and improves the overall organizational climate. Communication is essential to all other leadership competencies.¹⁴

3. Prepares Self: to master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills, necessary to adapt to changes in the leadership environment.¹⁵ Leaders create these capabilities, by studying doctrine and putting the information into context with personal experiences, military history, and geopolitical awareness. Self-development should include learning languages, customs, belief systems, motivational factors, fundamentals, and Tactics Techniques and Procedures of unified action partners and potential adversaries. Successful self-development is continuous and begins with the motivated individual, supplemented by a concerted team effort. Part of that team effort is quality feedback from multiple sources, including peers, subordinates, and superiors to establish self-development goals and self-improvement courses of action. These improve performance, by enhancing previously acquired skills, knowledge, behaviors, and experience. Trust-based mentorship can help focus self-development efforts to achieve professional objectives.¹⁶ Self-aware leaders gain the trust of their subordinates, by engaging in authentic actions that correspond to who they are and of what they are capable.¹⁷ They continue to improve the expertise required of their leadership roles and their profession.
4. Develops Others: is the leader's responsibility to help subordinates learn.¹⁸ To invest adequate time and effort to develop individual subordinates. Success demands a fine balance of teaching, counseling, coaching, and mentoring.¹⁹ Leaders assess their subordinate's performance in the core competencies, to determine if the individuals are meeting, exceeding or falling below expected

standards.²⁰ Once the assessment has been made, a course of action needs to be implemented in order to provide the necessary feedback, through counseling, coaching, and mentoring. Counseling will guide subordinates to improve performance and develop their potential.²¹ Coaching is identifying short and long-term goals, discussing courses of actions to improve or sustain, and follow up periodically to continue the assessment.²² Mentoring is characterized when a mentor provides a less experienced leader with advice over time, to help with professional and personal growth.²³ Mentorship affects both the personal and professional development of a leader, combining interpersonal communication skills with technical, tactical, and career path knowledge.²⁴

Effective leaders conducted these four leadership competencies, in order to listen, to coach, and to clarify. They leave an organization better than they found it and expect other leaders to do the same.²⁵ Effective leaders update in-depth assessments, since a thorough assessment helps implement changes gradually and systematically, without causing damaging organizational turmoil.²⁶ Further focus from effective leaders to their subordinates was designing the plan together, to improve performance and encourage their subordinates to take the lead in their development.²⁷ This allowed ownership in their development, allowing the growth of trust and focus for successful execution. The next step was to review the plan frequently, check progress, and modify the plan as necessary.²⁸ Completing the process of how effective leaders established self-development of their subordinates.

The foundation in U.S. Army leadership and leader development was established in ADRP 6-22. ADRP 6-22 outlined what competencies are required through the LRM

and the competencies of leads by example, communicates, prepares self, and develops others, in order to be an effective leader. The next step a leader needed to take in the development of subordinates was the UTP, which incorporated the organizations LDP. This was discussed in ADRP 7-0, *Training Units and Developing Leaders*.

ADRP 7-0: Training Units and Developing Leaders

Army Doctrine Reference Publication 7-0, *Training Units and Developing Leaders*, was published in August of 2012, by the Combined Arms Doctrine Directorate and Training Management Directorate, within the Combined Arms Command Training Division, United States Army Combined Arms Center, Fort Leavenworth, Kansas. The purpose for ADRP 7-0, in this research study, was to discuss the principles of leader development, illustrate how to establish a LDP, and then implement the LDP.

ADRP 7-0 discussed the principles of leader development. These principles included:

1. Lead by example
2. Develop subordinate leaders.
3. Create a learning environment for subordinate leaders.
4. Train leaders in the art and science of mission command.
5. Train to develop adaptive leaders.
6. Train leaders to think critically and creatively.
7. Train your leaders to know their subordinates and their families.²⁹

Every U.S. Army leader was responsible for the professional development of their subordinate military or civilian leaders. Leader development was an investment, since good leaders develop not only good training, but also other good leaders.³⁰ The focus was

on the leaders, as their responsibility to observe and assess their subordinates. Helping subordinates self-discover strengths, weaknesses, and ways to sustain or improve their performance, skills, knowledge, abilities, and behaviors.³¹ The leader development plan potentially included the other development domains, and the approach to implement them:

Leader development is a continuous and progressive process, spanning a leader's entire career. Leader development comprises training, education, and experience gained in schools, while assigned to organizations, and through the individual's own program of self-development.³²

This showed how important all three domains were in the overall development of subordinates.

In order to establish a LDP, the leader must communicate with the unit's staff to plan, prepare, execute, and assess training. This was known as Unit Training Management, which was communicated to subordinates through multiple conduits. The primary portal was through the Army Training Network. The Army Training Network was a password-protected Web site, which enabled subordinates to view Unit Training Management modules, tutorials, and examples. The leader and staff then used the operations process to provide a common framework in further communicating the unit's training and publish the unit's LDP.³³

The principles of leader development and how to develop a LDP were established in ADRP 7-0. ADRP 7-0 addressed the framework to communicate the unit's LDP through the operations process and implementation in the UTP, through the Army Training Network. These processes formed the basis for a unit's LDP. Prior to the publication of ADRP 6-22 and ADRP 7-0 publications, FM 6-22, *Army Leadership*, formed the foundation of leader development.

FM 6-22 (FM 22-100): *Army Leadership*

Field Manual 6-22 was published in October 2006, by TRADOC through the Center for Army Leadership, Command and General Staff College, Fort Leavenworth, Kansas. The purpose for FM 6-22, in this research study, was the foundation in leadership and leader development from 2006, until Doctrine 2015, which was published in August of 2012. Additionally, what emphasis was placed on communication and trust in leader development?

Field Manual 6-22 established leadership doctrine and fundamental principles for all officers, noncommissioned officers, and U.S. Army civilians. It discussed how U.S. Army leaders set the example, teach, and mentor, or termed “Be, Know, Do”.³⁴ The field manual addressed the LRM, as previously discussed in chapter 1, figure 2 as the, Be. The, Know, denoted self-development and operational experience. Finally the, Do, was achieved through development in counseling, coaching, and mentoring.

Field Manual 6-22 focused on communication, assessment of subordinates, and minimally on the establishment of trust. The focus on communication was addressed as, “leaders cannot lead, supervise, and build teams, counsel, coach, or mentor, without the ability to communicate clearly.”³⁵ Where trust was discussed through communication, “to run an effective organization and achieve mission accomplishment without excessive conflict, leaders must figure out how to reach their superiors when necessary and to build a relationship of mutual trust.”³⁶ To assess subordinates, leaders conducted the following:

1. Observe and record subordinates’ performance in the core leader competencies.
2. Determine if the performances meet, exceed, or fall below expected standards.
3. Tell subordinates what was observed and give an opportunity to comment.

4. Help subordinates develop an Individual Development Plan (IDP) to improve performance.³⁷

The IDP was designed to correct weakness and sustain strengths. Additionally, an example of an IDP can be located within the Army Career Tracker Web site. The Army Career Tracker supports a commitment to lifelong learning with information technologies and other important tools for individual Soldier development.

Field Manual 6-22 discussed three principal ways leaders develop subordinates. The three ways included:

1. Counseling: occurs when a leader, who serves as a subordinate's designated rater, reviews with the subordinate his demonstrated performance and potential, often in relation to a programmed performance evaluation.
2. Coaching: the guidance of another person's development in new or existing skills during the practice of those skills.
3. Mentoring: a leader with greater experience than the one receiving the mentoring provides guidance and advice; it is a future-oriented developmental activity, focused on growing in the profession.³⁸

These three areas required trust and communication in the development of subordinates, which enabled a legacy. Further development was incorporated through operational experience and assignments.

Field Manual 6-22 does not discuss trust in detail to the depth of ADP 1-0 or ADRP 6-22. Trust was necessary, in order to begin the communication and development process. This was the overall change between leadership and leader development doctrine over the past seven years. The implementation of trust was omitted in the *Commander's*

Handbook for Unit Leader Development (2007). The *Commander's Handbook for Unit Leader Development* illustrated the tiered approach to leader development at the tactical level.

Commander's Handbook for Unit Leader Development

The *Commander's Handbook for Unit Leader Development* was published in 2007, by the Center for Army Leadership, Combined Arms Center-Leader Development and Education, United States Army Combined Arms Center, Fort Leavenworth, Kansas. The purpose for the *Commander's Handbook for Unit Leader Development* in this research study, established the necessary foundation for tactical unit LDPs. The *Commander's Handbook for Unit Leader Development* established a four-category tiered approach to leader development. This approach focused on setting the conditions for leader development, providing feedback on a leader's actions, integrated learning, and creating a legacy. These four categories, implemented together, provided the most effective application to achieve an effective LDP.

First, a leader set the conditions for leader development. This was achieved through the leader acting as a role model for leader development. The leader focused on the core leader competency of leads by example. Next, the leader established a climate, which fostered subordinates to take risks, grow, and develop their own initiative. Third, the leader began to get to know the leaders, within their command as individuals with unique skills, abilities, backgrounds and goals. Setting the conditions for leader development as a leader, established that leader development was highly important in the organization.³⁹

Second, a leader needed the ability to provide feedback to their subordinates. This enhanced subordinate's learning and was the most effective environment for leader development. Providing accurate feedback was conducted through planned observation and accurate assessments. These observations were established once the conditions have been set.⁴⁰

Third, a leader focused on ways to integrate learning into subordinates day-to-day activities. To apply learning, a leader stimulated intellect, shapes motivation, and provides experience. These three learning principles maximize learning and performance. The unit leaders within a leader's command, assisted in this area, in order to set the standards for replication. This replication was the basic idea to get leaders with more experience, to pass that experience on to less experienced leadership, in a mentorship role. This process was one in which the participants self-selected each other.⁴¹

Fourth, a leader created a legacy. Integration of leader development efforts into a cohesive, integrated plan, established operating norms that last well after a leader's departure.⁴² This level of leadership development required an extreme investment from the leader, but left a lasting legacy of trained and ready leaders for the U.S. Army of tomorrow. This was achieved through leader selection in positions of increased responsibility, leader succession selection, and implementation of leader requirements.⁴³

These four categories implemented together, provided the most effective applications to achieve an effective leadership development program. The categories were not separate activities that consisted of Officer Professional Development or Non-Commissioned Officer Professional Development.⁴⁴ The activities were consistent to leveraging role models, fostering mentorship, deliberate selection of leaders, planned

succession, and integration of reflection. These methods created an effective and integrated LDP for tactical units. The following subchapter discusses prior research on leader development.

Prior Research on Leader Development in the U.S. Army

This section provided a review of three key documents. The first was the 2006-RAND study on U.S. ALD. This study was the key reference for evidence. The second key document was a book by Lieutenant General (U.S. Army Retired) Walt Ulmer, Ulmer's final job in the U.S. Army was the Commander of III Corps, Fort Hood, Texas. The third key document was a book by John Maxwell. Maxwell never served in the military, but understands business leadership and writes extensively on the subject.

In 2006, the Center for Army Leadership asked RAND Arroyo Center to identify effective and feasible LDPs in operational units. RAND interviewed 466 Officers from the rank of Lieutenant-to-Lieutenant Colonel. These selected officers discussed their leader development experiences in previous units of assignment.⁴⁵ The officers discussed how their units conducted training on collective and individual tasks, but the activities intended to develop the broader range of leadership skills, varied greatly in content, frequency, and perceived quality. In short, there is no set of activities that could be characterized as a standard or typical unit-level LDP.⁴⁶

The RAND survey took into account several factors that affected the outcome. These factors included:

[D]eployments, the roles and missions of the units, unit location and geographical dispersion, readiness levels, and the amount of individual and team experience. To respond to these factors, a number of senior officers said it would be helpful to have a flexible "tool kit" of leader development ideas.⁴⁷

These factors need to be prioritized, in order to improve the organization. Units preparing to deploy have a different prioritization for managing their training. This prioritization influenced where to implement leader development into the deployment timeline. The leader development plan is executed throughout all training. These factors again show how priorities can place leader development further down on the list of execution and influence subordinates not to focus on development.

Leader Development Programs require time, effort, and commitment by the participants, if they are to be truly effective.⁴⁸ In a professional organization, subordinates deserve the commander and staff to develop an effective UTP for leader development. The UTP needs to establish a LDP, as part of a unit's battle rhythm. Then, establish a unit Standard Operating Procedure to give leaders a framework, to show them what right looks like, as discussed in the survey:

At the battalion level, the unit commander's influence is without question the single most important factor determining the content, frequency, and perceived quality of leader development activities. Unit leaders, especially battalion and squadron commanders have an enormous influence on the development of junior officers. In our discussions with officers at all levels, a phrase that was frequently used to describe unit level leader development activities was "personality-driven."⁴⁹

There is no set of activities that could be characterized as a standard or typical unit-level LDP.⁵⁰ Again, establishing that subordinates cannot visualize what right looks like, to carry forward in their development of subordinates. This trend could establish a negative legacy for future soldiers to emulate.

The RAND study determined that communication was the most important requirement in leader development and counseling subordinates. Leaders must be up front and clearly communicate with their subordinates, in the establishment of

development. This begins in training leaders on how to communicate and TRADOC needs to be in the lead.⁵¹ TRADOC needs to establish a format for leader development in communication. Leaders need to see what right looks like in the schoolhouse, by exposing them to information and ideas the leader can take with them to their unit.⁵² This format establishes a foundation for leaders to build upon with their subordinates.

In RAND's research, they discussed effective leadership through LDPs. These effective LDPs came from leaders who knew what right looked like, based on a mentor or leader, who set an earlier example developing others.⁵³ The mentors or leaders that set the example on how to develop others fostered a legacy. This legacy was developed from previous leaders.

Throughout RAND's research, the significance for effective LDPs is reinforced. The areas that are highlighted focused on the leader and leadership requirements they need to develop to be successful. The leader's success depended on their ability to communicate and build trust with their subordinates. This technique established a model for the development of others. The model was then transferred forward to create a legacy. The following subchapter will discuss, in detail this model, through a senior leader's perspective.

Senior Leaders on Leader Development

Senior leaders have written numerous littoral references about leader development. Ulmer discussed leadership and leader development in his book, *Inside View: A Leader's Observations on Leadership*. Within the scope of this case study, Ulmer discussed trust, leadership requirements, communication, and sustaining an organization, in order to create a legacy.

Ulmer's view on the establishment of trust was a necessity in the execution of a leader. Once trust had been established between a leader and their subordinate, the subordinate will then execute any task without hesitation.⁵⁴ This example discussed the magnitude that trust, once established, had in the commitment of a subordinate. Ulmer defined the ability to gain trust through a leader setting the example in traits of character, competence, integrity, and commitment. This developed the creative, human use of influence and authority, to focus group energy on the tasks at hand.⁵⁵

Ulmer stated, "Once trust has been established, subordinates will be able to understand and clearly articulate a leader's communication."⁵⁶ A leader must have self-awareness in this example, in order to develop subordinates. Then, leaders built on this trust to develop open and direct communication between subordinates to allow responsive feedback. This technique generated a bottom-up flow of communication instead of a top-down, which had the greatest impact for success in an organization.

In combination, Ulmer equated that a leader's character and their ability to communicate effectively, developed the potential to sustain trust. This trust or lack of trust generated a legacy. If trust was not developed due to a leader's behavior or flaw in character, the positive legacy could be destroyed. From the positive perspective within a leader's character, the establishment of positive climate bred creativity. This creativity fostered subordinates to develop others, in order to sustain the success of the organization. Ulmer stated, "Being able to sustain a good organization is the most difficult leadership challenge, but a leader's success is only true if the organization executes in the absences of its leader."⁵⁷

Ulmer discussed many competencies and attributes of the LRM. His focus on character, communication, and trust were major contributing factors to leader and self-development. These three areas, combined successfully, established the positive legacy subordinates and organizations needed to replicate in the future.

Leader Development from the Civilian Perspective

There was a tremendous amount of literature available concerning leadership. The scope narrowed when leadership development was the focus. In review of the three areas of this study: doctrine, communication, and legacy, the following authors related directly in their models or techniques. Ulmer and Maxwell believed that trust and communication were essential to an individual's development.

John C. Maxwell discussed leadership and leader development in his book, *The 21 Irrefutable Laws of Leadership: Follow Them and People Will Follow You*.” Through his “Laws of Leadership,” the framework in doctrine, communication, and legacy described leader development. The four laws, which applied directly to this research, were the “Laws of Influence, Connection, Reproduction, and Legacy.”

Maxwell's “Law of Influence” established trust as the foundation for any leader to conduct leadership and leader development.⁵⁸ To establish trust, one must exhibit qualities of competence, connection, character, and communication.⁵⁹ These qualities were similar to the U.S. Army's LRM. This reinforced U.S. Army doctrine as a foundation to build upon in developing leaders.

In the “Law of Connection,” Maxwell described how a leader must communicate by listening, as opposed to asking. This demonstrated to individuals, the ability of the leader to care.⁶⁰ It then continued to build the initial trust necessary to begin

development. The leader needed to listen, in order to expect the subordinate to listen. This further reinforced communication and how a leader communicates in ADRP 6-22, as the most important leader requirement.

Once a leader has connected and influenced, Maxwell discussed the “Law of Reproduction and Legacy” to emphasize the importance of the other laws.⁶¹ The “Law of Reproduction” emphasized that only leaders are capable of developing other leaders.⁶² Followers do not possess the capacity to develop others. This law provided the necessary foundation for the last law, the “Law of Legacy.” Maxwell described the “Law of Legacy” as the rarest. It is not the success of an individual, but leaving a succession in the organization and the individuals who that leader develops.⁶³

Maxwell used a similar model to describe the ALD model with a lifetime of learning approach towards leadership development. Through the “Laws of Influence, Connection, and Reproduction” leaders can build their organization and individually develop their subordinates into future leaders. Finally, through these laws the leader left a legacy for others to emulate and build their own legacy. The following subchapter summarizes the literature review for chapter 2.

Summary

This chapter established the types of references that cover leader development. The literature review was divided into four subchapters. These subchapters covered U.S. Army doctrine, prior research on leader development, senior leader’s perspectives, and civilian perspectives.

The foundation in U.S. Army doctrine guided leaders through the ALD model and LRM. Similarities and themes continued, in review of senior leader and civilian

perspectives. The RAND research study confirmed shortfalls in execution of leader development and recommendations for future implementation. This literature reinforced areas in communication and trust as essential competencies to development. Additionally, a leader's character in the LRM of, leads by example was instrumental in the development of subordinates. Chapter 3 discusses the methodology for this qualitative research study. The purpose of chapter 3 is to inform the reader on how the qualitative research was conducted.

¹Headquarters, Department of the Army, Army Doctrine Publication 1-0, *The Army* (Washington, DC: Department of the Army, 2012).

²Ibid., 2-2.

³Ibid., 2-4.

⁴Ibid., 4-7.

⁵Headquarters, Department of the Army, Army Doctrine Reference Publication 6-22, 7-8.

⁶Ibid., 5.

⁷Ibid., 1-5.

⁸Ibid.

⁹Ibid., 1-6.

¹⁰Ibid.

¹¹Ibid., 6-10.

¹²Ibid., 6-12.

¹³Ibid., 6-13.

¹⁴Ibid., 6-14.

¹⁵Ibid., 6-15.

¹⁶Ibid., 7-6.

- ¹⁷Ibid., 7-7.
- ¹⁸Ibid.
- ¹⁹Ibid., 6-15.
- ²⁰Ibid., 7-9.
- ²¹Ibid., 7-10.
- ²²Ibid.
- ²³Ibid., 7-11.
- ²⁴Ibid.
- ²⁵Ibid., 6-15.
- ²⁶Ibid., 7-9.
- ²⁷Ibid., 7-10.
- ²⁸Headquarters, Department of the Army, Army Doctrine Reference Publication 6-22, 7-10.
- ²⁹Ibid., 2-4.
- ³⁰Ibid., 2-3.
- ³¹Ibid., 2-4.
- ³²Ibid., 1-2.
- ³³Ibid., 3-1.
- ³⁴Headquarters, Department of the Army, Field Manual 6-22, *Army Leadership* (Washington, DC: Department of the Army, 2006), 1-1.
- ³⁵Ibid., 7-14.
- ³⁶Ibid., 7-15.
- ³⁷Ibid., 8-10.
- ³⁸Ibid.
- ³⁹Headquarters, Department of the Army, *Commander's Handbook for Unit Leader Development*, 9.

⁴⁰Ibid., 16.

⁴¹Ibid., 24.

⁴²Ibid., 36.

⁴³Ibid., 40.

⁴⁴Ibid., 44.

⁴⁵Schirmer et al., “Leader Development in Army Units: Views from the Field,” 7.

⁴⁶Ibid., xv.

⁴⁷Ibid., xvii.

⁴⁸Ibid., 3.

⁴⁹Ibid., 31.

⁵⁰Ibid., 19.

⁵¹Ibid., 65.

⁵²Ibid.

⁵³Ibid., 64.

⁵⁴Walter F. Ulmer Jr., *Inside View: A Leader’s Observations on Leadership* (Greensboro, NC: Center for Creative Leadership, 1999), 2.

⁵⁵Ibid.

⁵⁶Ibid., 8.

⁵⁷Ibid.

⁵⁸Maxwell, *The 21 Irrefutable Laws of Leadership*, 11.

⁵⁹Ibid., 58.

⁶⁰Ibid., 99.

⁶¹Ibid., 133, 215.

⁶²Ibid., 136.

⁶³Ibid., 218.

CHAPTER 3

RESEARCH METHODOLOGY

Introduction

The purpose of this chapter is to review the methodology used to conduct the U.S. ALD study in this research. A qualitative research methodology was used in this case study. This chapter additionally covers qualitative research and the qualitative case study methodology, data collection, data analysis, coding, research questions, role of researcher, standards of verification, and summary.

Qualitative Research and the Qualitative Case Study Methodology

The reason a qualitative approach was selected for this research is within the initial research question, “How does the U.S. Army leader develop subordinates?” In reviewing John W. Creswell’s book, *Qualitative Inquiry and Research Design: Choosing Among Five Traditions* he states, “First select a qualitative study because of the nature of the research question . . . the research question often starts with a how or a what, so that initial forays into the topic describe what is going on.”¹ Qualitative research was further defined by Catherine Marshall and Gretchen B. Rossman, as a broad approach to the study of social phenomena; its various genres were naturalistic and interpretive, and they draw on multiple methods of inquiry.² The decision was established based on these two areas.

Further review on defining qualitative research was completed through Sharan B. Merriam in her book, *Qualitative Research and Case Study Applications in Education*, and Creswell. Merriam discussed qualitative research as an umbrella concept covering

several forms of inquiry that help us understand and explain the meaning of social phenomena.³ Merriam also stated that this type of research was focused on discovery, insight, and understanding from the perspectives of those being studied. Consequently, it offers the greatest promise of making significant contributions to the knowledge base and practice of education.⁴ Creswell's definition of qualitative research was an inquiry process of understanding, based on distinct methodological traditions of inquiry that explore a social or human problem.⁵ Finally, qualitative research allowed for a multi-dimensional, multi-faceted, interpretive, and flexible approach to its subject matter.⁶

To define the qualitative case study methodology, Merriam addressed the case as: a student, a teacher, a principal, a program, a group (such as a class), a school, a community, a specific policy, and so on.⁷ Merriam further defined a case study to be; a system that must be bound because of concern, issue, or hypothesis.⁸ Finally, a case study was selected for its uniqueness, for what it can reveal about a phenomenon, knowledge we would not otherwise have access to.⁹

Creswell, Merriam, Marshall, and Rossman formed the guidance to follow. Together through these four authors, the qualitative research and case study methodology for this study was developed. The following subchapter discusses the collection of data for this study.

Data Collection

There are four primary methods for data collection in qualitative research. Different researchers have preferences for each of the four and some types of qualitative research lend themselves to one rather than another, as a primary source for data

collection. The four generally accepted methods for gathering data when conducting qualitative research are:

1. Direct observation
2. Interviewing
3. Involvement in the setting
4. Analyzing documents or materials¹⁰

The primary method of data collection for this research case study on leader development was analyzing documents and materials. This thesis determined the process leaders use to develop subordinates through the ALDS. A review of the available literature on leadership and leader development was conducted. The review included writings from civilian and senior leader's perspectives on leadership and leader development. The review of current U.S. Army doctrine and guidance provided the foundation, by defining the role of self-development in the ALD process. Finally, literature from a leader study conducted by RAND and commissioned by the U.S. Army, addressed disparity in operational unit LDPs. Once the literature was collected, the researcher began to analyze the data.

Data Analysis

A qualitative approach was used to evaluate the data obtained from the literature review. As noted by Merriam, "Data collection and analysis is a simultaneous activity in qualitative research. Analysis begins with the first document read."¹¹ She specifically addressed data analysis in case studies in *Qualitative Research and Case Study Applications in Education* when she said, "a case study is an intensive, holistic description and analysis of a single bounded unit. Conveying an understanding of the

case is the paramount consideration in analyzing the data”.¹² The analysis in this research consisted of four-phases: literature, collected analysis, coding, and determination of conclusions and recommendations.

Coding

Coding occurred when the researcher broke down the research data into categories.¹³ The categories were broken down into U.S. Army doctrine, past research on leader development, senior leader perspectives, and civilian perspectives. The researcher looked for patterns and themes that emerged and were consistently confirmed by multiple participants.¹⁴ This holds true in the analysis of the literature collected for this research. This confirmation also meant triangulation was being achieved, within the analysis of the data. Through the multiple sources collected from the U.S. Army perspective to the civilian perspective, similar patterns emerged. These patterns consisted of the establishment of trust, verbal and nonverbal communication, and the ability to create a legacy.

The themes of leaders establishing trust, communication, and the ability to create a legacy of leaders was analyzed against the criteria established in the RAND study, in order to answer the primary research question, “How does the U.S. Army leader develop subordinates?” The secondary research questions were the forcing function to provide the data necessary to answer the primary research question. U.S. Army doctrine defined the specifics in data collected for each secondary research question. Then senior leader and civilian perspectives reinforced the specified theme in the doctrine. The final criteria, in order to evaluate the specific themes was the RAND study, which served as the

evaluation criteria, once data was analyzed and coded. The following research questions were analyzed against these coding criteria.

Research Questions

This research study attempted to answer the following research questions, by using a qualitative case study application.

1. How does the U.S. Army leader develop subordinates?
2. What are the key requirements for an effective leader development program?
3. What core leader competencies are most important in leader development?

Role of Researcher

Merriam¹⁵ addressed the characteristics she felt researchers needed to possess to be effective. Among those essential characteristics or qualities, she deemed necessary were a high tolerance for ambiguity, being sensitive, and being a good listener. Pertinent to this research is ambiguity and triangulation, throughout the data collected. The areas of U.S. Army doctrine, past research on leader development, senior leader's perspectives, and civilian perspectives were used until saturation and triangulation were reached.

The researcher was a U.S. Army officer with over 11 years of experience. This experience had been transferred through the three domains of the ALD model. The researcher's experience within each domain is consistent to the data found in the RAND study discussed in chapter 2. The researcher had both positive and negative experiences, through past leader development.

Standards of Verification

Triangulation is the process of confirming emerging themes among various participants or sources. This process occurred when information from different sources can be confirmed as shedding light on a theme or perspective.¹⁶ Merriam quoted Michael Patton when she said, “multiple sources of information are sought and used because no single source of information can be trusted to provide a comprehensive perspective.”¹⁷ Triangulation was used to establish the credibility and validity of the data. Triangulation strengthens reliability, as well as internal validity. R. E. Stake also confirmed the importance of triangulation when he spoke about the triangulation of information. When more than one source confirmed that certain patterns and themes were consistently present, triangulation was achieved.¹⁸

Peer review was also conducted, in order to keep the researcher honest. Peer review asked the hard questions about methods, meanings, and interpretations.¹⁹ The reviewers for this study were peers in a seminar setting, who submitted oral feedback from sessions discussing this research study.

The selected literature produced themes throughout this research study. These themes consisted of leaders establishing trust, communication, and the ability to foster a legacy of future leaders. The researcher analyzed these themes against the issues in the RAND study, in order to develop the findings in the following chapter.

Summary

A qualitative study was selected for this research because it allowed for in-depth research, as well as a comprehensive understanding of the issue. Additionally, it provided insight on the current concern for leader development within the U.S. Army, but also

offered the perspective of others, who possessed knowledge and information about the phenomenon. The qualitative study made allowances for the interpretive, developing nature of the research.

Data was collected through analyzing documents and materials on leader development. Data analysis began with the first document reviewed, while the researcher was the primary collection instrument. Due to not only the dynamic nature of the research, but also the emerging qualities of the study, the original research design was not rigidly structured. As many qualitative researchers have noted, this allowed the study to develop and evolve as data emerged. Marshall and Rossman stated that qualitative research retains the flexibility needed to allow the precise focus of the research to evolve during the research process itself.²⁰

The case study methodology was guided by the thoughts and words of Creswell, Marshall, Merriam and Rossman. These authors guided the development of this research study through their design and research methods. Merriam said it best, as qualitative research can reveal how all the parts work together to form a whole.²¹ Chapter 3 provided the methodology of the research. The purpose of chapter 3 explained how data was found and analyzed to answer each research question. Chapter 4 analyzed each of the research questions.

¹John W. Creswell, *Qualitative Inquiry and Research Design: Choosing Among Five Traditions* (Thousand Oaks, CA: SAGE Publications, 1998), 17.

²Catherine Marshall and Gretchen B. Rossman, *Designing Qualitative Research* (Thousand Oaks, CA: SAGE Publications, 1999), 2.

³Sharan B. Merriam, *Qualitative Research and Case Study Applications in Education: Revised and Expanded from Case Study Research in Education* (San Francisco, CA: Jossey-Bass Publisher, 1998), 5.

- ⁴Ibid., 1.
- ⁵Creswell, *Qualitative Inquiry and Research Design*, 15.
- ⁶Creswell, *Qualitative Inquiry and Research Design*; Marshall, and Rossman, *Designing Qualitative Research*.
- ⁷Merriam, *Qualitative Research and Case Study Applications in Education: Revised and Expanded from Case Study Research in Education*, 27.
- ⁸Ibid., 28.
- ⁹Ibid., 33.
- ¹⁰Marshall and Rossman, *Designing Qualitative Research*.
- ¹¹Merriam, *Qualitative Research and Case Study Applications in Education: Revised and Expanded from Case Study Research in Education*, 151.
- ¹²Ibid., 193.
- ¹³Marshall and Rossman, *Designing Qualitative Research*; Merriam, *Qualitative Research and Case Study Applications in Education: Revised and Expanded from Case Study Research in Education*.
- ¹⁴Ibid.
- ¹⁵Merriam, *Qualitative Research and Case Study Applications in Education: Revised and Expanded from Case Study Research in Education*.
- ¹⁶Ibid., 202.
- ¹⁷Ibid., 137.
- ¹⁸Robert E. Stake, *The Art of Case Study Research* (Thousand Oaks, CA: Sage, 1995).
- ¹⁹Creswell, *Qualitative Inquiry and Research Design: Choosing Among Five Traditions*, 202.
- ²⁰Marshall and Rossman, *Designing Qualitative Research*, 53.
- ²¹Merriam, *Qualitative Research and Case Study Applications in Education: Revised and Expanded from Case Study Research in Education*, 6.

CHAPTER 4

FINDINGS

Introduction

The primary research question, “How does the U.S. Army leader develop subordinates?” seeks to determine how the U.S. Army implements leader development.

Chapter 3 provided the methodology of the research. The methodology explained how data was found and analyzed to answer each research question. Chapter 4 was an analysis of the data collected. The purpose of chapter 4 is to answer the primary research question and the secondary research questions.

Primary Research Question

How does the U.S. Army Leader Develop Subordinates?

The analysis of U.S. ALD focused on effective leader development within current U.S. Army leadership doctrine. In addition to this analysis, this research analyzed how leaders communicate to subordinates and how a leader’s execution and effectiveness towards leader development, created a positive or negative legacy. Finally, U.S. Army doctrine does not provide a model or simulation for what leader development looks like, in order to communicate, establish trust, and create a legacy. In chapter 5 under recommendations, the researcher provides an example and illustration to aid the reader in visualizing the leader development simulation. This illustration was influenced through the review of Maxwell and Ulmer’s techniques to communicate, build trust, and develop a legacy.

United States Army doctrine clearly outlined that subordinates are developed through education, training, and experience, as illustrated in the ALD model in figure 1. This process was a tailored program, distinct to the needs of the subordinate and unit the subordinate was assigned. Critical to this process was the relationship between the leader and subordinate, which was influenced by both the leader and subordinate's competencies and attributes, as illustrated in the LRM in figure 2. These two models formed the outline to guide leaders, in order to develop effective subordinates through communication, trust, and legacy.

United States Army doctrine framed leader development and leaders developing subordinates through the three domains of the ALDS. Each domain built on lifelong learning, in order to develop the subordinate. The overarching theme was a foundation built on trust in the leadership competencies of leads by example, communicates, prepares self, and develops others. These four competencies guided leaders in the process of effectively developing their subordinates. In addition, subordinates were developed through two means. These means were development at the individual and unit level through the UTP.

This development process at the individual and unit level was specific to the unit's organizational structure and mission. The leader, with their staff developed a UTP. This training plan incorporated the necessary tasks for the unit to successfully accomplish their unit's mission and build a cohesive team in the process. The unit's leader development plan included: a leadership philosophy expectations of subordinate leaders; recommended reading and plans to discuss the reading; leader development objectives in scheduled unit training events; subordinate leader development plans addressing training,

education, and experience goals; and scheduled leader professional development opportunities.¹ The training plan was developed through the operations process, as the leader and staff planned, prepared, executed, and assessed the training. The training plan was then communicated through an operations order, operations order brief, and depicted along the unit's training calendar. This format generated discussion and buy-in from the subordinates in the unit, in order to further develop trust as a cohesive team.

The UTP for leader development was incorporated in all training events to prepare subordinates for the demands of future assignments. These training events included unit physical training, maintenance, individual and collective training events, staff exercises, staff rides, internal leadership courses, command post exercises, field training exercises, situational training exercises, family readiness training, combatives, and multiple other areas to guide in the subordinates development. The UTP established a crawl, walk, and run approach to training, in order to best prepare both the individual and unit to successfully accomplish the tasks being trained.

United States Army doctrine defined leader development and leaders developing subordinates through the ALDS, using the ALD model and LRM as guides. The U.S. Army leader developed their subordinates at the individual and unit level, through the UTP. The UTP outlined how a subordinate and unit were developed, by leaders setting the conditions through communication and leading by example. Finally, U.S. Army doctrine does not provide a model depicting the execution of leader development, in relation to the ability to communicate, establish trust, and create a legacy. In chapter 5 under recommendations, the researcher provides an example and illustration simulating an approach, in order to communicate, establish trust, and develop a legacy.

Research Question 2

What are the Key Requirements for an Effective Leader Development Program?

This research determined that an effective LDP focused on communication, trust and legacy. This research also determined that tactical units require a method to publish the commander's leader development plan. ADRP 7-0, *Training Management*, provided the framework for publishing the commander's LDP using the UTP. The UTP was the official order that directed the unit through their LDP.

This research determined that the rank of Lieutenant Colonel was the decisive rank for establishing LDPs. In addition, Lieutenant Colonels in Battalion Command positions were charged with authority and responsibility for developing subordinates. The RAND study confirmed this analysis. The RAND study focused on the Lieutenant Colonel, who developed junior leaders. This Lieutenant Colonel set the conditions for junior leaders to emulate and began the legacy process. The Lieutenant Colonel established trust through their character, competencies, and ability to communicate. Once trust was established, the Lieutenant Colonel and subordinate development began. Through this process, the Lieutenant Colonel assessed the subordinate. Each assessment allowed positive and negative feedback toward the subordinate's growth in leader development. Additional areas were required to complete the development process. These areas were developed through the UTP.

The UTP for leader development included: leadership's expectations of subordinates; leader individual training and certification programs by position; leader development objectives in training events; opportunities for subordinates to experience positions of higher responsibility in training, and retraining until tasks were achieved to

standard.² The UTP focused these tasks into all unit events. These events included, but were not limited to counseling, coaching, teaching, mentoring, unit training briefs, maintenance, individual and collective training, field training exercises, family readiness training, and multiple other training events.

The Battalion Commander and the unit's staff developed these training plans. These plans needed to be communicated to subordinate leaders, in order to allow trust to continue. The plans were communicated at unit training meetings, leader professional development training, and training update briefs. This generated further trust and communication in the organization, continuing the growth of the legacy being developed. The importance of communication in the unit allowed bottom-up feedback from subordinates to the commander. This communication was what a successful LDP and training plan needed to generate trust.

The UTP was an official order and the framework for taking the commander's concept of leader development. This concept was then turned into tasks that subordinates needed to execute. According to ADRP 7-0, the UTP should discuss: a leadership philosophy; expectations of subordinate leaders; recommended reading and plans to discuss the reading; leader development objectives in scheduled unit training events; subordinate leader development plans addressing training, education, and experience goals; and scheduled leader professional development opportunities.³

Effective LDPs required focus on communication, trust and legacy. This research also determined that the rank of Lieutenant Colonel was the decisive rank and the position of Battalion Commander was essential, in the effectiveness of LDPs. Finally, ADRP 7-0, *Training Management*, provided the framework for publishing the

commander's LDP and the UTP was the official order that directed the unit through their LDP.

Research Question 3

What Core Leader Competencies are most Important in Leader Development?

Analysis of LDPs determined four leader competencies under trust were the most important. These four leader competencies were communicates, leads by example, prepares self, and develops others. In order to build trust, two of the previous four competencies were necessary first. These competencies were communicates and leads by example.

The leadership competency communicates, was discussed in ADP 1-0, ADRP 6-22, ADRP 7-0, FM 6-22, and senior and civilian leader perspectives. The RAND study determined that communication was the most important requirement in leader development. Communication was the initial step to build trust and established the effectiveness a leader developed in their unit LDP.

The leadership competency leads by example, was discussed in ADRP 6-22, ADRP 7-0, FM 6-22, and senior and civilian leader perspectives. In RAND's research, they discussed effective leadership through LDPs. These effective LDPs came from leaders who knew what right looked like, based on a mentor or leader who set an earlier example for developing others.⁴ These mentors or leaders that set the example on how to develop others fostered a legacy. This legacy was developed from previous leaders and their example of effective leadership.

Trust was built only after a leader began the process of communicates and leads by example. Then, in order for the leader to maintain the trust of their subordinates, the leader must continue to lead by example and communicate to their subordinates. Once trust was established, the leader developed others while continuing to develop themselves.

The four competencies: communicates, leads by example, prepares self, and develops others were focus areas for each leader. The competencies of communicates and leads by example, built the necessary trust for a leader to begin the development process. To complete the process a leader developed others.

Opposing Points of View

This study focused on leaders developing subordinates. An opposing view was that U.S. Army subordinates do not understand “what leader development is?” The RAND study confirmed this in chapter 2, with the discussion, “junior officers did not know when they were receiving development”.⁵ Leaders need to communicate their definition and vision of leader development to their subordinates.

Army Doctrine Reference Publication 7-0, established both a formal and informal plan to approach leader development, focused on the basics of leadership in unit training.⁶ When the leader did not establish or communicate the objectives to their subordinates, the subordinates did not understand the “why, what, or how,” development was conducted. This process of setting the conditions, prior to any event was important, because the majority of leader development was done through or during training events. The importance of this opposing view is covered in chapter 5, under recommendation one and recommendations for further research, number one and four.

Summary

This chapter provided analysis on the data collected. Chapter 4 answered the primary research question: “How does the U.S. Army leader develop subordinates?” In addition, the two secondary research questions, what are the key requirements for an effective LDP and what core leader competencies are most important in leader development were answered.

The following areas were highlighted in answering the three research questions:

1. U.S. Army doctrine framed leader development and leaders developing subordinates through the ALDS, using the ALD model and LRM as guides.
2. The U.S. Army leader developed their subordinates at the individual and unit level through the UTP.
3. Effective LDPs required focus on communication, trust, and legacy.
4. The rank of Lieutenant Colonel was the decisive rank and the position of Battalion Commander was essential in the effectiveness of LDPs.
5. The four competencies: communicates, leads by example, prepares self, and develops others were focus areas for each leader. The competencies of communicates and leads by example built the necessary trust for a leader to begin the development process.

Chapter 5 provides conclusions, recommendations, and recommendations for future research based on the findings in chapter 4.

¹Headquarters, Department of the Army, “Unit Training Management.”

²Headquarters, Department of the Army, Army Doctrine Publication 7-0, 3-5.

³Headquarters, Department of the Army, “Unit Training Management.”

⁴Schirmer et al., “Leader Development in Army Units: Views from the Field,” 64.

⁵Ibid.

⁶Headquarters, Department of the Army, Army Doctrine Publication 7-0, 3-5.

CHAPTER 5

CONCLUSION AND RECOMMENDATIONS

Introduction

Chapter 4 provided analysis on the data collected. Chapter 4 answered the primary research question, “How does the U.S. Army leader develop subordinates?” Additionally, the secondary research questions: what are the key requirements for an effective leader development program and what core leader competencies are most important in leader development? Chapter 5 provides conclusions, recommendations, and recommendations for future research, based on the findings in chapter 4.

Primary Research Question

How does the U.S. Army Leader Develop Subordinates?

The U.S. Army leader develops subordinates through a variety of programs and methods, but three overarching themes begin the process. These themes were communication, trust, and legacy. These themes formed the foundation, in order to develop subordinates through the ALD model and in line with the ALDS.

The focus on competencies built character through each subordinates continuum in the U.S. Army. The four leader competencies to reinforce this process were communicates, leads by example, prepares self, and develops others. The two most important competencies were the ability to communicate and lead by example. These two competencies provided a framework for leaders and subordinates to follow. This framework built trust between the subordinate and the leader. The ability to build trust

between a leader and subordinate developed bonds within an organization, to then build a cohesive team.

The development of a cohesive team generated options for unit training and development of a UTP. The UTP guided the team, in order to become educated, trained, and experience the process in order to be effective. The development of subordinates built more than just one individual, but a legacy. This legacy was positive or negative based on the subordinate's development. These traits gave way to a domino effect that created tens of thousands of future leaders. These leaders influenced multiple organizations over the years, which created an effective and efficient U.S. Army, full of future developers.

Research Question 2

What are the Key Requirements for an Effective Leader Development Program?

The requirements for an effective LDP contained the following criteria. The unit leader, subordinate, training plan, and setting the conditions on leader development. Together through communication, trust, and legacy, these requirements built an effective LDP.

The unit leader established the foundation of the LDP. The leader must lead by example, have strength in character, inculcated in values, professional ethics, personal and morale courage, and the ability to communicate at all levels. These competencies and attributes formed the initial trust between the leader and subordinate. This initiated the development process for each individual in a unit.

Second, the leader must establish the conditions to lead through communication, trust, and legacy. This fundamental approach was communicated on all medias to reinforce the unit's LDP. This approach allowed communication by the leader from the subordinate, further establishing trust and an understanding of the unit's LDP. Finally, leader development was prioritized in all unit training. Subordinates then understood the importance in their development and the development of others in the unit.

An effective LDP was built on trust through communication between the unit leader and their subordinates. This program was established through conditions communicated to all levels in the unit and executed in unit training. This commitment established the legacy necessary to achieve an effective LDP.

Research Question 3

What Core Leader Competencies are most Important in Leader Development?

The analysis found four leader competencies for leaders to focus on, in order to develop subordinates. These four leader competencies were communicates, leads by example, prepares self, and develops others. In order to build trust, two of the previous four competencies were necessary first. These competencies were communicates and leads by example.

The competencies of communicates and leads by example built the necessary trust for a leader to begin the development of others. The reinforcement of how a leader built trust gave leaders a focus area to develop further areas within an organization. The trust built through communication increased accountability, responsibility, and confidence in subordinates to develop others.

Recommendations

The following recommendations focus on the three domains of the ALD model. These recommendations include training programs for further development in the areas of communication and the establishment of trust, a reward system for LDPs, and establishing leader development as a focus area in the Unit Status Report and Unit Training Briefs. Additionally, a simulation created by the researcher illustrating the individual leader development process, to allow the reader a visualization, which focuses on communication, trust, and the creation of a legacy.

The first recommendation is to develop a communication and trust training program, in order to train subordinates early on in their U.S. Army career. This program focuses on communication and trust building techniques. These techniques are then implemented at the United States Military Academy, Reserve Officer Training Corps, Officer Candidate School, Warrior Leader, Senior Leader and Advanced Leader Course, Basic Officer Leader Course, Captains Career Course, Command and General Staff College, and reinforced at each position in the U.S. Army. This reinforcement must continue once promoted to the rank of Lieutenant Colonel, in preparation for future leader development roles. The RAND study determined that communication was the most important requirement in leader development and counseling subordinates. This begins in training leaders on how to communicate and TRADOC needs to be in the lead.¹ TRADOC needs to establish a format for leader development in communication. Leaders need to see what right looks like in the schoolhouse, exposing them to information and ideas the leader can take with them to their unit.² This format establishes a foundation for leaders to build upon with their subordinates and establishes the trust necessary to

develop the legacy in the future. An example of this format is outlined and illustrated in figure 3 below.

1. U.S. Army leaders begin the leader development process by setting the conditions with their subordinates. The conditions the leader established were based on the ability to communicate. This communication built trust through the leader's ability to listen to the subordinate. Once trust was established, the subordinate then listens to the leader and the development process begins. The subordinate then emulates the leader, as they lead by example, prepares self, and continues to develop others. This emulation was the legacy an effective leader fostered, through the development of their subordinate.
2. After the conditions were set, the leader began to conduct their assessment of each subordinate. The assessment phase continued throughout the subordinate and leader's time together in an organization. As the leader was conducting their assessment of the subordinate, the assessment was in line with the IDP of the subordinate being assessed. Together the leader and subordinate used the IDP to guide how the subordinate was achieving their goals. Then, the leader and subordinate established additional goals to work towards over their time together. These goals continued to focus on the leadership competencies: leads by example, communicates, prepares self, and develops others.
3. Once the conditions were set and the assessment was conducted, the individual process of development continued through counseling, coaching, teaching, mentoring, and further counseling. This process instilled the leadership

competencies: leads by example, communicates, prepares self, and develops others for the subordinate to emulate, as leader built the legacy.

Figure 3 illustrates this process using Lieutenant Colonel Smith, as the leader and Captain Miller, as the subordinate.

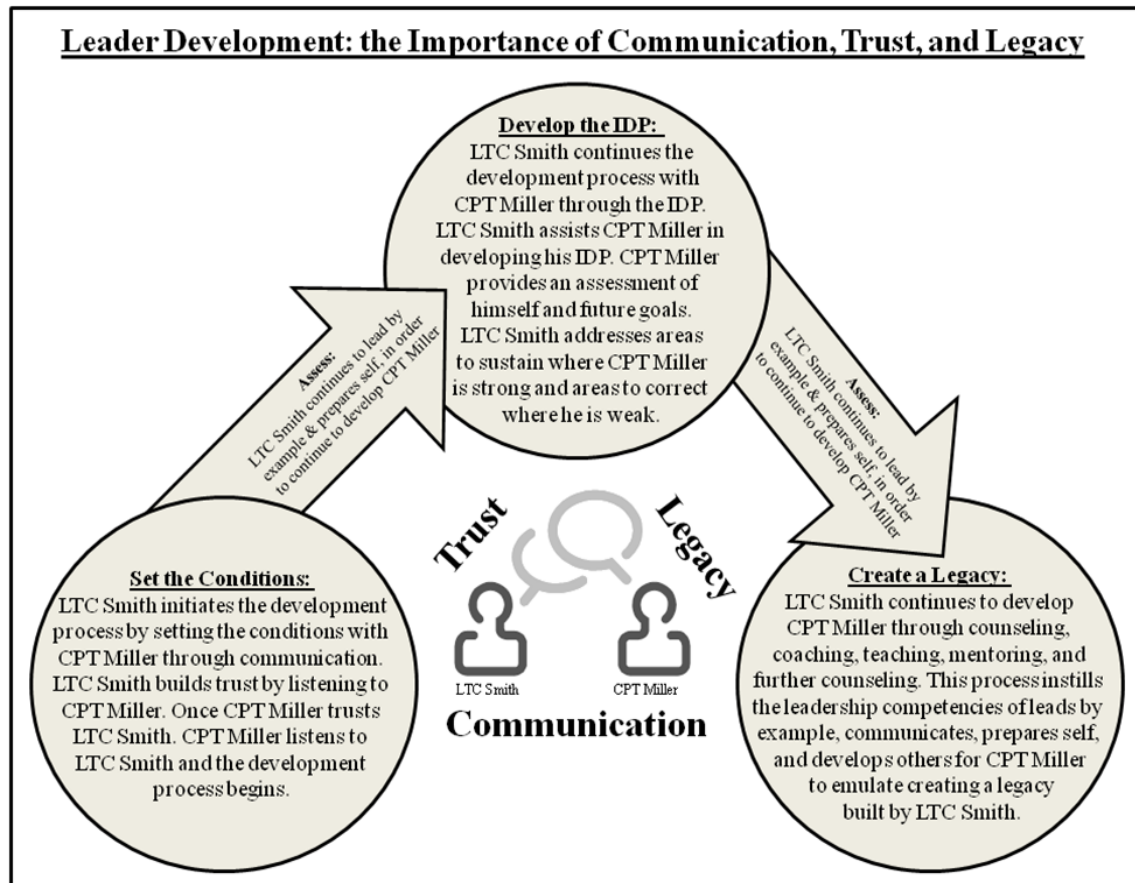


Figure 3. Leader Development: the Importance of Communication, Trust, and Legacy Simulation

Source: Created by author.

The second recommendation is rewarding leaders who develop and foster LDPs. This recommendation is tied to the establishment of LDPs being reviewed in the Unit Status Report and Unit Training Briefs. The quantitative data is surveyed quarterly across each unit, focused on individual counseling and coaching. The survey questions: have you been counseled by your immediate supervisor, how often is counseling conducted by your intermediate or senior supervisor, and how often is leader development conducted in your unit? This survey then feeds into the Unit Status Report and Unit Training Brief to maintain a current status and priority for leader development. These two reports allow leaders to be held responsible for their LDP or rewarded in the successful execution of leader development.

The recommendations of communication and trust training programs, reward systems for LDPs, and leader development accountability are focus areas to aid in the execution of leader development. These recommendations generate the sufficient priorities, in order to achieve the CSA's end state on leader development. The following subchapter discusses recommendations for future research.

Recommendations for Future Research

The following recommendations for future research further develop the understanding of the impact communication and trust has, in the development of a legacy in the U.S. Army.

1. Conduct an U.S. Army-wide survey to determine the application of leader development Tactics Techniques and Procedures. This study indicates that the communication process can be a valuable aspect of leader development, if correctly implemented. Time constraints, however, prevented the development,

dissemination, retrieval, and data interpretation of a survey. The typical survey questions should include: Have you experienced a leader development relationship; as a subordinate or leader? Was it a formal or informal development? How did your leader communicate to you as a subordinate? Did you feel there was trust established based on the technique your leader used? How did you communicate to your subordinates? Did you feel there was trust established based on the technique you used to develop subordinates? Did you communicate differently depending on the individual? If so, why?

2. Apply research study framework to past leaders, in order to assess the leader's effectiveness in building trust through communication and leading by example, in order to develop a positive or negative legacy.
3. Compare and contrast the U.S. Army's LDP against the U.S. Navy, U.S. Air Force, and U.S. Marine Corps.
4. Conduct an U.S. Army-wide survey, in order to determine the application of leaders who read and understand U.S. Army doctrine. This survey needs to be specific on each area of doctrine. Time constraints however, prevented the development, dissemination, retrieval, and data interpretation of a survey. The typical survey questions should include: Have you read the most current doctrine dated X? Do you understand the new strategy and are able to develop your subordinates on this subject? Why do you or why do you not read doctrine?
5. Conduct study focusing on development and illustration of specific tactical unit UTPs. Focus research on the Battalion Level and the development of Infantry,

Armor and Field Artillery Battalion UTPs. Then illustrate findings, conclusions, and recommendations.

Summary

This qualitative research study analyzed: “how does the U.S. Army implement leader development?” This qualitative research study was divided into five chapters. These chapters covered the thesis’s introduction, literature review, research methodology, findings, and conclusions and recommendations.

Chapter 1 introduced the thesis, described leader development, stated the problem for research, purpose of the study, and established the significance of the primary research question:

How does the U.S. Army leader develop subordinates?

It also determined two secondary research questions necessary to answer the primary research question:

1. What are the key requirements for an effective leader development program?
2. What core leader competencies are most important in leader development?

This chapter additionally provided the methodology, limitations, and assumptions for this case study.

Chapter 2 provided a literature review on the subject of leader development. It was intended to provide the reader with an understanding of the reference material available on leader development, and how U.S. Army leaders develop subordinates. The literature review was divided into four subchapters. These subchapters covered U.S. Army doctrine, prior research on leader development, and senior leader and civilian perspectives.

Chapter 3 provided the methodology of the qualitative research study. Additionally, it provided insight on the current concern for leader development within the U.S. Army, but also offered the perspective of others who possessed knowledge and information about the phenomenon. The qualitative study made allowances for the interpretive developing nature of the research.

Chapter 4 was an analysis of the primary and secondary research questions. This chapter provided analysis on the data collected. Chapter 4 answered the primary research question: “How does the U.S. Army leader develop subordinates?” In addition, the two secondary research questions, what are the key requirements for an effective leader development program and what core leader competencies are most important in leader development, were answered.

Chapter 5 provided conclusions, recommendations, and recommendations for future research based on the findings in chapter 4. This chapter provided conclusions to the primary research question: “How does the U.S. Army leader develop subordinates?” In addition to the two secondary research questions, what are the key requirements for an effective leader development program and what core leader competencies are most important in leader development? Additionally, three recommendations and five recommendations for future research were developed.

¹Schirmer et al., “Leader Development in Army Units: Views from the Field,” 65.

²Ibid.

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